

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sorrells *et al.*

Appl. No.: 09/550,644

Filed: April 14, 2000

For: **Method and System for Down-  
Converting an Electromagnetic  
Signal, Transforms for Same, and  
Aperture Relationships**

Confirmation No.: 9317

Art Unit: 2617

Examiner: Bhattacharya, Sam

Atty. Docket: 1744.0010009

**Thirteenth Supplemental Information Disclosure Statement**

***Mail Stop Amendment***

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed on accompanying IDS Form PTO/SB/08A are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached IDS Form PTO/SB/08A based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants provide the following comments regarding the documents:

Document US1 was cited in a Notice of Allowance in related U.S. Patent Application No. 11/020,547, filed December 27, 2004, entitled "Methods And Systems For Down-Converting A Signal Using A Complementary Transistor Structure," directed to related subject matter.

Documents US2-US4 were cited in an Office Action in related U.S. Patent Application No. 10/197,255, filed July 18, 2002, entitled "Networking Methods and Systems," directed to related subject matter. Also cited in said Office Action were U.S. Publication Nos. 2002/0070728 and 2002/0163921, and U.S. Patent Nos. 6,963,626; 6,850,742; 6,591,310; and 5,703,584, all of which have already been cited in the present application.

Document US5 was cited in a Notice of Allowance in related U.S. Patent Application No. 10/453,622, filed June 4, 2003, entitled "Active Polyphase Inverter Filter for Quadrature Signal Generation," directed to related subject matter.

Documents US6-US14 are co-owned patents which are directed to related subject matter.

Documents US15 and US16 were cited in a Notice of Allowance in related U.S. Patent Application No. 10/914,337, filed August 10, 2004, entitled "Method And System For Down-Converting And Up-Converting An Electromagnetic Signal, And Transforms For Same," directed to related subject matter. Also cited in said Notice of Allowance were U.S. Patent Nos. 4,761,798; 6,144,846; 6,400,963; 6,611,569;

6,836,650; 6,853,690; 6,873,836; and 7,194,246, all of which have already been cited in the present application.

Documents US17-US19 were cited in an Office Action in related U.S. Patent Application No. 11/355,167, filed February 16, 2006, entitled "Methods And Systems For Down-Converting A Signal Using A Complementary Transistor Structure," directed to related subject matter.

Document US20 is a co-owned published patent application, currently pending, that is directed to related subject matter.

This statement should not be construed as a representation that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below:

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing

date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. An Online Credit Card Payment Authorization for the amount of \_\_\_\_\_ to cover payment of the fee under 37 C.F.R. § 1.17(p) is being transmitted with this filing.
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue

Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language documents appears below in accordance with 37 C.F.R. § 1.98(a)(3):

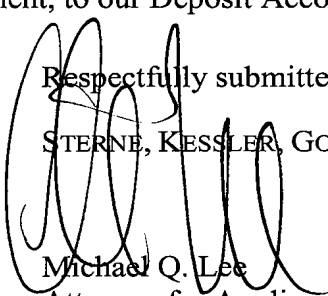
- ☒ 7. In accordance with 37 C.F.R. § 1.98(a)(2), copies of the U.S. patents and patent application publications cited on the attached IDS Form PTO/SB/08A are not enclosed.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. \_\_\_\_\_, filed \_\_\_\_\_, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☒ 9. It is expected that the examiner will review the prosecution and cited art in the parent application nos. 09/521,879, filed March 9, 2000 (now abandoned), 09/293,342, filed April 16, 1999 (now U.S. Pat. No. 6,687,493), and 09/176,022, filed October 21, 1998 (now U.S. Pat. No. 6,061,551), in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution histories has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed IDS Form PTO/SB/08A, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Michael Q. Lee  
Attorney for Applicants  
Registration No. 35,239

Date: August 15, 2007

1100 New York Avenue, N.W.  
Washington, D.C. 20005-3934  
(202) 371-2600

709474\_1.DOC

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO				<b>Complete if Known</b>	
<b>THIRTEENTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>				Application Number	09/550,644
				Filing Date	April 14, 2000
				First Named Inventor	David F. Sorrells
				Art Unit	2617
				Examiner Name	Bhattacharya, Sam
Sheet	1	of	1	Attorney Docket Number	1744.0010009

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	US1	5,884,154	03-16-1999	Sano <i>et al.</i>	
	US2	5,900,746	05-04-1999	Sheahan	
	US3	6,246,695 B1	06-12-2001	Seazholtz <i>et al.</i>	
	US4	6,597,240 B1	07-22-2003	Walburger <i>et al.</i>	
	US5	7,072,433 B2	07-04-2006	Bell	
	US6	7,190,941 B2	03-13-2007	Sorrells <i>et al.</i>	
	US7	7,194,246 B2	03-20-2007	Sorrells <i>et al.</i>	
	US8	7,209,725 B1	04-24-2007	Sorrells <i>et al.</i>	
	US9	7,218,899 B2	05-15-2007	Sorrells <i>et al.</i>	
	US10	7,218,907 B2	05-15-2007	Sorrells <i>et al.</i>	
	US11	7,224,749 B2	05-29-2007	Sorrells <i>et al.</i>	
	US12	7,233,969 B2	06-19-2007	Rawlins <i>et al.</i>	
	US13	7,236,754 B2	06-26-2007	Sorrells <i>et al.</i>	
	US14	7,245,886 B2	07-17-2007	Sorrells <i>et al.</i>	
	US15	7,194,044 B2	03-20-2007	Birkett <i>et al.</i>	
	US16	7,212,581 B2	05-01-2007	Birkett <i>et al.</i>	
	US17	4,485,347	11-27-1984	Hirasawa <i>et al.</i>	
	US18	5,724,041	03-03-1998	Inoue <i>et al.</i>	
	US19	2003/0193364 A1	10-16-2003	Liu <i>et al.</i>	
	US20	2005/0009494 A1	01-13-2005	Sorrells <i>et al.</i>	

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	FP1					
	FP2					
	FP3					
	FP4					
	FP5					
	FP6					
	FP7					
	FP8					
	FP9					

709365\_1.DOC

Examiner Signature	Date Considered
--------------------	-----------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.